



<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/815,222	
			Filing Date	March 31, 2004	
			First Named Inventor	Andrew Ginter, et al.	
			Art Unit	Not Yet Assigned 2154	
Examiner Name	Not Yet Assigned V. Vn				
Sheet	1	of	6	Attorney Docket Number	VRS-00101

U.S. PATENT DOCUMENTS					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number-Kind Code <sup>2</sup> (if known)			
✓✓		US-6,219,719 B1	Apr. 17, 2001	Lars Oliver Graf	
✓✓		US-6,212,581 B1	Apr. 3, 2001	Lars O. Graf	
✓✓		US-5,619,656	Apr. 8, 1997	Lars O. Graf	
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FOREIGN PATENT DOCUMENTS						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> Number <sup>4</sup> Kind Code <sup>5</sup> (if known)				
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Mail Room Date 8/23/04

Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)				<b>Complete if Known</b>	
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Examiner Name	Not Yet Assigned				
Sheet	2	of	6	Attorney Docket Number	VRS-00101

NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
✓✓	A	SnortUsers Manual, Copyright ©1998-2003 MARTIN ROESCH, Copyright ©2001-2003 CHRIS GREEN, Copyright © 2003 Sourcefire, Inc. – <a href="http://www.snort.org/docs/snort_manual">http://www.snort.org/docs/snort_manual</a>	<input type="checkbox"/>
✓✓	B	Arpwatch.txt, 4 <sup>th</sup> Berkeley Distribution, October 8, 2000, Arpwatch(8), <a href="ftp://ftp.ee.lbl.gov/arpwatch.tar.gz">ftp://ftp.ee.lbl.gov/arpwatch.tar.gz</a>	<input type="checkbox"/>
✓✓	C	RTAP FOR UNIX® Integrator's Guide, August 2000, Copyright ©1998-2000 Hewlett-Packard (Canada) Ltd.	<input type="checkbox"/>
✓✓	D	Linux Journal - Issue 117: Monitoring Hard Disks with SMART, posted on January 1, 2004 by BRUCE ALLEN, <a href="http://www.linuxjournal.com/article.php?sid=6983">www.linuxjournal.com/article.php?sid=6983</a>	<input type="checkbox"/>
✓✓	E	Smartmontools Home Page, maintained by BRUCE ALLEN, Copyright ©2002-2004, <a href="http://smartmontools.sourceforge.net/">http://smartmontools.sourceforge.net/</a>	<input type="checkbox"/>
✓✓	F	RFC 1700: Assigned Numbers by J. REYNOLDS and J. POSTEL, October 1994, ISI, <a href="http://www.cse.ohio-state.edu/cgi-bin/rfc/rfc1700.html">www.cse.ohio-state.edu/cgi-bin/rfc/rfc1700.html</a>	<input type="checkbox"/>
✓✓	G	RFC 826: An Ethernet Address Resolution Protocol or Converting Network Protocol Addresses to 48.bit Ethernet Address for Transmission on Ethernet Hardware Abstract by DAVID C. PLUMMER, November 1982, <a href="http://www.cse.ohio-state.edu/cgi-bin/rfc/rfc0826.html">www.cse.ohio-state.edu/cgi-bin/rfc/rfc0826.html</a> <a href="http://smartmontools.sourceforge.net">http://smartmontools.sourceforge.net</a>	<input type="checkbox"/>
✓✓	H	SMARTD.CONF – SMART Disk Monitoring Daemon Configuration File (online help describing the SMART monitoring tools project), <a href="http://smartmontools.sourceforge.net/man/smartd.conf.5.html">http://smartmontools.sourceforge.net/man/smartd.conf.5.html</a> , no date	<input type="checkbox"/>
✓✓	I	SMARTD – SMART Disk Monitoring Daemon (online help describing the SMART monitoring tools project), <a href="http://smartmontools.sourceforge.net/man/smartd.8.html">http://smartmontools.sourceforge.net/man/smartd.8.html</a> , no date	<input type="checkbox"/>
✓✓	J	SMARTCTL – Control and Monitor Utility for SMART Disks (online help describing the SMART monitoring tools project), <a href="http://smartmontools.sourceforge.net/man/smartctl.8.html">http://smartmontools.sourceforge.net/man/smartctl.8.html</a> , no date	<input type="checkbox"/>

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				Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
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NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
✓✓	K	Snort 2.0 Intrusion Detection, 2003, by JAY BEALE, JAMES C. FOSTER, JEFFREY POSLUNS and BRIAN CASWELL, Syngress Publishing, Inc., Rockland, MA, ISBN: 1-931836-74-4	<input type="checkbox"/>
✓✓	L	Hardware Monitoring by lm_sensors, Copyright © 1999-2004 The Lm_sensors Group, <a href="http://secure.netroedge.com/~lm78">http://secure.netroedge.com/~lm78</a>	<input type="checkbox"/>
✓✓	M	Sensors FAQ for lm_sensors version 2.12, Copyright © 1998-2004, FRODO LOOIJAARD, PHILIP EDELBROCK and MARK STUDEBAKER, <a href="http://www2.lm-sensors.nu/~lm78/cvs/lm_sensors2/doc/lm_sensors-FAQ.html">http://www2.lm-sensors.nu/~lm78/cvs/lm_sensors2/doc/lm_sensors-FAQ.html</a>	<input type="checkbox"/>
✓✓	N	Tripwire.org, <a href="http://www.tripwire.org/">http://www.tripwire.org/</a> Tripwire Open Source, Linux Edition FAQ, <a href="http://www.tripwire.org/qanda/index.php">http://www.tripwire.org/qanda/index.php</a> Downloads, <a href="http://www.tripwire.org/downloads/index.php">http://www.tripwire.org/downloads/index.php</a> , printed July 2004	<input type="checkbox"/>
✓✓	O	The Design and Implementation of Tripwire: A File System Integrity Checker by GENE H. KIM and EUGENE H. SPAFFORD, © 1994 ACM	<input type="checkbox"/>
✓✓	P	fverify(8), <a href="http://h30097.www3.hp.com/docs/base_doc/DOCUMENTATION/V51_HTML/MAN/INDEXES/INDEX_F.HTM">http://h30097.www3.hp.com/docs/base_doc/DOCUMENTATION/V51_HTML/MAN/INDEXES/INDEX_F.HTM</a> , printed July 2004	<input type="checkbox"/>
✓✓	Q1	RTAP - Increasing Visibility and Return on Real-time Information with a Mission Critical Supervisory Platform by Verano, Inc. © Copyright 2003, <a href="http://www.verano.com/general_downloads/rtap_overview.pdf">http://www.verano.com/general_downloads/rtap_overview.pdf</a>	<input type="checkbox"/>
✓✓	Q2	RTAP™ Technical Overview, <a href="http://www.verano.com/general_downloads/RTAP_TechDataSheet_July04.pdf">http://www.verano.com/general_downloads/RTAP_TechDataSheet_July04.pdf</a>	<input type="checkbox"/>
✓	R	Open – Proven network and security threat management – Products <a href="http://www.open.com/products/systemwatch/sys_architecture.shtml">http://www.open.com/products/systemwatch/sys_architecture.shtml</a> <a href="http://www.open.com/products/systemwatch/sys_arch_console.shtml">http://www.open.com/products/systemwatch/sys_arch_console.shtml</a> <a href="http://www.open.com/products/systemwatch/sys_arch_agent.shtml">http://www.open.com/products/systemwatch/sys_arch_agent.shtml</a> © 2000 – 2004 OpenService, Inc.	<input type="checkbox"/>

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				First Named Inventor	Andrew Ginter, et al.
				Art Unit	Not Yet Assigned
				Examiner Name	Not Yet Assigned
Sheet	4	of	6	Attorney Docket Number	VRS-00101

NON-PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
✓✓	S	Open - Proven network and security threat management - Enterprise Security Information Management, Event Correlation and Log Analysis, <a href="http://www.open.com/index_core.htm">http://www.open.com/index_core.htm</a> , 2004	<input type="checkbox"/>
✓✓	T	Open - Proven network and security threat management - Solutions, <a href="http://www.open.com/solutions/solutions.shtml">http://www.open.com/solutions/solutions.shtml</a> , 2004	<input type="checkbox"/>
✓✓	U	Open - Proven network and security threat management - What is Event Correlation, <a href="http://www.open.com/solutions/correlation.shtml">http://www.open.com/solutions/correlation.shtml</a> , 2004	<input type="checkbox"/>
✓✓	V	Open - Proven network and security threat management - Correlation Semantics - What's in a Name, <a href="http://www.open.com/solutions/SimSemantics.shtml">http://www.open.com/solutions/SimSemantics.shtml</a> , 2004	<input type="checkbox"/>
✓✓	W	Open - Proven network and security threat management - Overcoming the Barriers to Successful Security Event Management, <a href="http://www.open.com/solutions/successful_SEM.shtml">http://www.open.com/solutions/successful_SEM.shtml</a> , 2004	<input type="checkbox"/>
✓✓	X	Open - Proven network and security threat management - What's Magic About Security Event Correlation, <a href="http://www.open.com/solutions/magicquadrant.shtml">http://www.open.com/solutions/magicquadrant.shtml</a> , 2004	<input type="checkbox"/>
✓✓	Y	Open - Proven network and security threat management - Case Study: Countrywide Home Loans, <a href="http://www.open.com/solutions/countrywide.shtml">http://www.open.com/solutions/countrywide.shtml</a> , 2004	<input type="checkbox"/>
✓✓	Z	Open - Proven network and security threat management - Case Study: Stadtwerke Dusseldorf AG, <a href="http://www.open.com/solutions/stadtwerke.shtml">http://www.open.com/solutions/stadtwerke.shtml</a> , 2004	<input type="checkbox"/>
✓✓	AA	Open - Proven network and security threat management - Products - Enterprise Security Information Management and Threat Correlation, <a href="http://www.open.com/products/products.shtml">http://www.open.com/products/products.shtml</a> , 2004	<input type="checkbox"/>
✓✓	AB	Open - Proven network and security threat management - Partners - Introducing Security Threat Manager/Surveyor™, <a href="http://www.open.com/partners/partners_surveyor.shtml">http://www.open.com/partners/partners_surveyor.shtml</a> , 2004	<input type="checkbox"/>
✓✓	AC	Open - Proven network and security threat management - Security Threat Manager™ v2.0, <a href="http://www.open.com/products/threatmanager/STM2_FullLog.shtml">http://www.open.com/products/threatmanager/STM2_FullLog.shtml</a> , 2004	<input type="checkbox"/>

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✓✓	AD	Open - Proven network and security threat management - Products - Open NerveCenter Overview, <a href="http://www.open.com/products/nervecenter/nervecenter.shtml">http://www.open.com/products/nervecenter/nervecenter.shtml</a> , 2004	<input type="checkbox"/>
✓✓	AE	Open - Proven network and security threat management - News - OpenService Appoints Michael Ruffolo to Board of Directors, <a href="http://www.open.com/news/040719.shtml">http://www.open.com/news/040719.shtml</a> , 2004	<input type="checkbox"/>
✓✓	AF	Open - Proven network and security threat management - News - Press Releases, <a href="http://www.open.com/news/releases.shtml">http://www.open.com/news/releases.shtml</a> , 2004	<input type="checkbox"/>
✓✓	AG	Open - Proven network and security threat management - News - Press Coverage Archive, <a href="http://www.open.com/news/coverage.shtml">http://www.open.com/news/coverage.shtml</a> , 2004	<input type="checkbox"/>
✓✓	AH	Open - Proven network and security threat management - News - Seminars, <a href="http://www.open.com/news/events.shtml">http://www.open.com/news/events.shtml</a> , 2004	<input type="checkbox"/>
✓✓	AI	Open - Proven network and security threat management - News - Newsletter Information, <a href="http://www.open.com/news/newsletters.shtml">http://www.open.com/news/newsletters.shtml</a> , 2004	<input type="checkbox"/>
✓✓	AJ	Open - Security Threat Manager™ At Work, 2004	<input type="checkbox"/>
✓✓	AK	Open - Network Security Management - Active Event Monitoring and Management of Your Security Infrastructure, © 2002 OpenService, Inc.	<input type="checkbox"/>
✓✓	AL	SELinux Documentation, <a href="http://www.nsa.gov/selinux/info/docs.cfm">http://www.nsa.gov/selinux/info/docs.cfm</a> , 2000	<input type="checkbox"/>
✓✓	AM	Integrating Flexible Support for Security Policies into the Linux Operating System by PETER LOSCOCCO and STEPHEN SMALLEY, FREENIX Track: 2001 USENIX Annual Technical Conference June 2001	<input type="checkbox"/>
✓✓	AN	Meeting Critical Security Objectives with Security-Enhanced Linux by PETER A. LOSCOCCO and STEPHEN D. SMALLEY, 2001 Ottawa Linux Symposium	<input type="checkbox"/>
✓✓	AO	Securing the X Window System with SELinux by DOUG KILPATRICK, WAYNE SALAMON and CHRIS VANCE, initial version: January 2003, revised version: March 2003	<input type="checkbox"/>

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✓✓	AP	Configuring the SELinux Policy by STEPHEN SMALLEY, initial version: February 2002, revised version: January 2003	<input type="checkbox"/>
✓✓	AQ	Implementing SELinux as a Linux Security Module by STEPHEN SMALLEY, CHRIS VANCE and WAYNE SALAMON, initial version: December 2001, revised version: May 2002	<input type="checkbox"/>
✓✓	AR	Integrating Flexible Support for Security Policies into the Linux Operating System by PETER LOSCOCCO and STEPHEN SMALLEY, first published: December 2000, last revised: February 2001	<input type="checkbox"/>
✓✓	AS	A Security Policy Configuration for the Security-Enhanced Linux by STEPHEN SMALLEY and TIMOTHY FRASER, first published: December 2000, last revised: February 2001	<input type="checkbox"/>
✓✓	AT	2003 Ottawa Linux Symposium BOF Presentation by STEPHEN D. SMALLEY, 2003 Ottawa Linux Symposium SELinux "Birds of a Feather" Session	<input type="checkbox"/>
✓✓	AU	Security-Enhanced Linux 2001 Kernel Summit Presentation by PETER A. LOSCOCCO, 2001 Linux 2.5 Kernel Summit	<input type="checkbox"/>
✓✓	AV	Press Releases: OpenService Announces Security Threat Manager Version 2, <a href="http://www.open.com/news/releases.jsp?file=031210.jsp">http://www.open.com/news/releases.jsp?file=031210.jsp</a> <i>no date</i>	<input type="checkbox"/>
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PATENT AND TRADEMARK OFFICE

Application Number 10/815,222

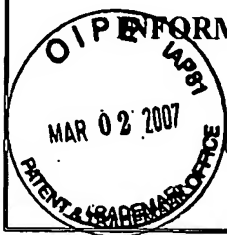
Filing Date March 31, 2004

First Named Inventor Andrew Ginter

Art Unit 2154

Examiner Name VU, Viet Duy

Attorney Docket No. VRS-00101



# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(Use as many sheets as necessary)

## U.S. PATENT DOCUMENTS

EXAMINER INITIALS *	ATTY. CITE NO.	DOCUMENT NUMBER	ISSUE/PUBLICATION DATE MM-DD-YYYY	NAME OF APPLICANT OF CITED DOCUMENT	CLASS	SUB- CLASS
WV	AA	6,550,012	04-15-2003	Villa et al.		
WV	AB	6,574,666	06-03-2003	Dutta et al.		

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIALS *	ATTY. CITE NO.	DOCUMENT NUMBER	PUBLICATION DATE MM-DD-YYYY	COUNTRY	TRANSLATION	
					YES	NO

## NON-PATENT LITERATURE DOCUMENTS

EXAMINER INITIALS *	ATTY. CITE NO.	INCLUDE AUTHOR, TITLE, DATE, VOL/ISSUE NO., COUNTRY OF PUBLICATION, PAGES, ETC.
WV	CA	RTAP for Unix Integrator's Guide, August 2000, copyright 1998-2000, HP Canada, Ltd.
WV	CB	Snort 2.0 Intrusion Detection, 2003, by Jay Beale, James C. Foster, Jeffrey Posluns and Brian Caswell, Syngress Publishing, Inc., Rockland, MA ISBN: 1-931836-74-4.

EXAMINER SIGNATURE: Viet Vu/

DATE CONSIDERED: 03/29/2007

\*EXAMINER: Initial if referenced considered, whether or not citation is in conformance with MPEP 609. Draw a line through citation if not considered. Include copy of this form with next communication to applicant.



<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/815,222	
			Filing Date	March 31, 2004	
			First Named Inventor	Andrew Ginter, et al.	
			Art Unit	2154	
Examiner Name	Not Yet Assigned <i>V. V.</i>				
Sheet	1	of	1	Attorney Docket Number	VRS-00101

<b>NON-PATENT LITERATURE DOCUMENTS</b>			
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
<i>VV</i>	AA	Amazon.com Book Search Results for Snort 2.0 Intrusion Detection, February 2003  (JAY BEALE, JAMES C. FOSTER, JEFFREY POSLUNS and BRIAN CASWELL, Syngress Publishing, Inc., Rockland, MA, ISBN: 1-931836-74-4), <i>No date</i>	<input type="checkbox"/>
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Examiner Signature	<i>V. V.</i>	Date Considered	<i>2-6-06</i>
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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